

Date of Approval: 03/10/2025
Questionnaire Number: 1880

Basic Information/Executive Summary

What is the name of your project (system, database, pilot, product, survey, social media site, etc.)?

Enterprise Telephone Database, ETD-1

Acronym:

ETD-1

Business Unit

Taxpayer Services

Preparer

For Official Use Only

Subject Matter Expert

For Official Use Only

Program Manager

For Official Use Only

Designated Executive Representative

For Official Use Only

Executive Sponsor

For Official Use Only

Executive Summary: Provide a clear and concise description of your project and how it will allow the IRS to achieve its mission.

The Enterprise Telephone Data Warehouse (ETD-1) is a web-based application, available on the Intranet, and the primary repository for all historic IRS call center data. It is the official source for all data related to Toll-Free measures and indicators and enable business operations to perform contact center analysis and track business metrics. ETD-1 is the official source for Congressionally Budget driven measures and used by internal and external stakeholders such as finance, oversight, Treasury Inspector General for Tax Administration (TIGTA), Government Accountability Office (GAO) and members of Congress to track call volumes, level of service and calls answered. ETD-1 currently contains 72 databases and has a reporting component with 16 major reporting sections which contains multiple variations of each report. ETD-1 has 30 sub-reports for verification and validation (V&V) with multiple variations of each report. The

data warehouse contains approximately 20 TB of data. ETD-1 is owned and managed by the Joint Operations Center (JOC). ETD-1 is a reporting tool for the IRS Contact Center Environment (CCE). The CCE is a centralized platform that enables taxpayers to communicate with the IRS. The website/application supports multiple business divisions across the IRS enterprise to perform contact center analysis and track a multitude of business metrics such as talk time, hold time, handle time, and adherence. ETD-1's mission is to provide users access to timely and accurate data, while providing support for existing ETD-1 reports and for the implementation of new reports. Other responsibilities include, gathering and coordinating user requirements with external business units, development and implementation of user requirements, and producing deliverables timely and accurately. ETD analysts and development team serve as SMEs for ETD products and CCE data and analysis. ETD Server locations are located in the Enterprise Computing Center (ECC). JOC Planning & Analysis (P&A) Contractors are responsible for ensuring all back-end processes are running smoothly. Activities include, collecting data from the primary sources, programming and/or coding modifications to all ETLs and report templates, and performing all daily operation and maintenance activities for the ETD-1 Application. They work with various IT partners as needed to report and resolve issues. JOC P&A analysts are responsible for validating and publishing all final reports. They work with the business units to facilitate the process of requesting and developing new reporting or modifications to existing reports. They maintain the Reports Request Central Application (RRC) and facilitate the process of assigning requests to the appropriate units, as well as, responding to requests for their area.

Personally Identifiable Information (PII)

Will this project use, collect, receive, display, store, maintain, or disseminate any type of Sensitive but Unclassified (SBU), Personally Identifiable Information (PII), or Federal Tax Information (FTI)?

Yes

Please explain in detail how this project uses sensitive data from inception to destruction (data lifecycle).

The collection and display of taxpayer's Automatic Number Identification (ANI) allows the IRS to understand, interpret and diagnose taxpayer service issues to improve quality. This information will identify congestion and demand against IRS toll free products that may subsequently require redesign or additional staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information, but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records include information about the agent that answered the call Standard Employee Identifier (SEID) how and/or why a call was disconnected or abandoned, date/time of the call, original Customer Dial Number,

information on call duration, such as talk time, hold time, warp time, queue time, router call key/unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, Individual Master File Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call. The ETD reports are not driven by SBU/PII data, but by the information pertaining to the telephone call that is contained in the call detail records. The information is received directly from the Enterprise Telephone Database. The system/database/application is deemed reliable and accurate. The information is not altered in any way. There is no validation of SBU or PII data because there is no report created in ETD that contains that type of data. Part of the call record is the customer's telephone number and the SEID of the assistor that handled the call. Telephone data is downloaded from Verizon telephone databases and compiled into a readable report. That data is then compared to prior week and year data along with other analyses to verify accuracy and completeness.

Please select all types of Sensitive but Unclassified data (SBU)/Personally Identifiable Information (PII)/Federal Tax Information (FTI) that this project uses.

Standard Employee Identifier (SEID)
Telephone Numbers

Cite the authority for collecting SBU/PII/FTI (including SSN if relevant).

PII for federal tax administration - generally IRC Sections 6001 6011 or 6012
PII for personnel administration - 5 USC

Product Information (Questions)

1 Is this PCLIA a result of the Inflation Reduction Act (IRA)?

No

2 What type of project is this (system, project, application, database, pilot/proof of concept/prototype, power platform/visualization tool)?

Application

3 What Tier designation has been applied to your system?

4

4 Is this a new system?

No

4.1 Is there a previous Privacy and Civil Liberties Impact Assessment (PCLIA) for this project?

Yes

4.11 What is the previous PCLIA number?

6634

4.12 What is the previous PCLIA title (system name)?

Enterprise Telephone Database, ETD-1

4.2 You have indicated this is not a new system; explain what has or will change and why. (Expiring PCLIA, changes to the PII or use of the PII, etc.)

Expiring PCLIA

5 Is this system considered a child system/application to another (parent) system?

No

6 Indicate what OneSDLC State is the system in (Allocation, Readiness, Execution) or indicate if you go through Information Technology's (IT) Technical Insertion Process and what stage you have progressed to.

Execution

7 Is this a change resulting from the OneSDLC process?

No

8 Please provide the full name and acronym of the governance board or Executive Steering Committee (ESC) this system reports to.

User and Network Services (UNS) Governance Board

9 If the system is on the As-Built-Architecture (ABA), what is the ABA ID number of the system? If this PCLIA covers multiple applications shown on the ABA, please indicate the ABA ID number(s) for each application covered separated by a comma. If the system is not in the ABA, then contact the ABA (<https://ea.web.irs.gov/aba/index.html>) for assistance.

210413

10 If this system discloses any PII to any third party outside the IRS, does the system have a process in place to account for such disclosures in compliance with IRC 6103(p)(3)(A) or Subsection c of the Privacy Act?

Yes

11 Does your project/system involve any use of artificial intelligence (AI), including virtual assistant, chat bot, and robotic process automation, as defined in Executive Order 13960 and 14110?

No

12 Does this system use cloud computing?

No

13 Does this system/application interact with the public?

No

14 Describe the business process allowing an individual to access or correct their information. (Due Process)

This system primary function is to provide performance measures on IRS Telephone Operations. Customer phone numbers play no part in performance reporting. The system does not replace any individual taxpayer's right to due process, as dictated by the Internal Revenue Manual guidelines. IRS policy allows individual taxpayers whose data is in the system the opportunity to clarify or dispute negative determinations through the appeals process. However, due to the nature of this system, individuals may not receive specific notice that their information has been collected. The phone number is captured when the individual calls the IRS Toll Free number and there is not an option for the customer to not provide a phone number. The information is collected while carrying out the Internal Revenue laws of the United States; an individual cannot decline providing the information. The SEID is needed to determine if a call was answered by an assistor but is not displayed in any of the performance reports.

15 Is this system owned and/or operated by a contractor?

IRS owned and operated

16 Identify what role(s) the IRS and/or the contractor(s) performs; indicate what access level (to this system's PII data) each role is entitled to. (Include details about completion status and level of access of the contractor's background investigation was approved for.)

IRS Employees:

Users and Managers - Read Only.

Sys Admin- Read and Write.

Contractor Employees:

Users, managers, Sys Admin and Developers-Read Only with Background Investigation Level - High.

17 The Privacy Act of 1974 (5 USC § 552a(e)(3)) requires each agency that maintains a system of records, to inform each individual requested to supply information about himself or herself. Please provide the Privacy Act Statement presented by your system or indicate a Privacy Act Statement is not used and individuals are not given the opportunity to consent to the collection of their PII.

The IRS has the legal right to ask for information per IRC sections 6001, 6011, and 6012(a), and their regulations. "Information which if improperly used or disclosed could adversely affect the ability of the agency to accomplish its mission."

18 How many records in the system are attributable to IRS Employees? Enter "Under 50,000", "50,000 to 100,000", "More than 100,000" or "Not Applicable".

Under 50,000

19 How many records in the system are attributable to contractors? Enter "Under 5,000", "5,000 to 10,000", "More than 10,000" or "Not Applicable".

Not Applicable

20 How many records in the system are attributable to members of the public? Enter "Under 100,000", "100,000 to 1,000,000", "More than 1,000,000" or "Not applicable".

More than 1,000,000

21 Identify any "other" records categories not attributable to the categories listed above; identify the category and the number of corresponding records, to the nearest 10,000; if no other categories exist, enter "Not Applicable".

Not Applicable

22 How is access to SBU/PII determined and by whom?

Access to the raw data is approved by the project manager based solely upon impact to the system performance. This is the only method the PII in the system can be accessed and is not available to the average user. Access to the information is only granted through the Business Entitlement Access Request System (BEARS) application. The ETD SYS ADMIN (Enterprise Telephone Database) system utilizes the standard IRS on-line access application to document approvals for access. Data access is granted on a need-to-know basis. Access approval is based on the Users role(s) and responsibilities. Users are given the minimum set of privileges required to perform their regular and recurring work assignments; they are restricted from changing the boundaries of their access without management approval. The Enterprise Telephone Database system utilizes the standard IRS on-line access application to document approvals for access. Data access is granted on a need-to-know basis. A potential user must submit a request for access to their local management for approval. Users are not permitted access without a signed form from an authorized management official. Specific permissions (Read, Write, Modify, Delete, and/or Print) are defined on the form and set (activated) by the System Administrator prior to the user being allowed access. User privileges and user roles determine the types of data that each user has access to. The employee's access will be terminated once they no longer require access to the Database. Deletion from the active access role is also performed through BEARS.

23 Is there a data dictionary on file for this system? Note: Selecting "Yes" indicates an upload to the Attachment Section is required.

No

24 Explain any privacy and civil liberties risks related to privacy controls.

No privacy and civil liberties risks identified.

25 Please upload all privacy risk finding documents identified for the system (Audit trail, RAFT, POA&M, Breach Plan, etc.); click "yes" to confirm upload(s) are complete.

Yes

26 Describe this system's audit trail in detail. Provide supporting documents.

No audit trail, for users of the ETD-1 website, has been implemented because there was no benefit in tracking detailed user information when the data available to the user in ETD-1 could not be used to identify an individual and all users were behind the IRS firewall. Access to the database is controlled by the BEARS process. In addition, any change to production coming out of the development/test environments are submitted via the transmittal process. The transmittal contains the developer's name and phone number. Further, only the System Analysts (the specific IRS Information Technology employees) have "write" access. This small group of IRS employees as well as all other users of the database would have to use Microsoft Sequel (SQL) queries to see ETD-1 data and the SQL logs are the audit trail for those actions. Their access is also obtained through the BEARS application. SQL logging functionality is currently unavailable to us due to space limitations on the production server. To ensure the auditability of the ETD-1 system, a custom audit trace has been installed as part of IRS database hardening. Audit logs are written to a file and stored on the P: Drive for all ETD-1 SQL servers. All events are audited. In addition to the custom audit trace, the Default Trace is enabled for all ETD-1 SQL servers, which captures database events, errors and warnings, full-text events, object events, security audit events, configuration changes and server memory events. ETD-1 web server (IIS) session events/requests are tracked in a separate log for each website instance, e.g., ETD, Organization Function and Program Codes, etc. on all ETD-1 IIS servers.

27 Does this system use or plan to use SBU data in a non-production environment?

No

Interfaces

Interface Type

IRS Systems, file, or database

Agency Name

Intelligent Contact Manager

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Interface Type

IRS Systems, file, or database

Agency Name

Unified Contact Center Enterprise

Incoming/Outgoing

Incoming (Receiving)

Transfer Method

Electronic File Transfer Utility (EFTU)

Systems of Records Notices (SORNs)

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

The collection and display of taxpayer's Automatic Number Identification (ANI) allows the IRS to understand, interpret and diagnose taxpayer service issues to improve quality. This information will identify congestion and demand against IRS toll free products that may subsequently require redesign or additional staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information, but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records include information about the agent that answered the call Standard Employee Identifier (SEID) how and/or why a call was disconnected or abandoned, date/time of the call, original Customer Dial Number, information on call duration, such as talk time, hold time, warp time, queue time, router call key/unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, Individual Master File Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call.

SORN Number & Name

IRS 34.037 - Audit Trail and Security Records

Describe the IRS use and relevance of this SORN.

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staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information, but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records include information about the agent that answered the call Standard Employee Identifier (SEID) how and/or why a call was disconnected or abandoned, date/time of the call, original Customer Dial Number, information on call duration, such as talk time, hold time, warp time, queue time, router call key/unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, Individual Master File Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call.

SORN Number & Name

IRS 36.003 - General Personnel and Payroll Records

Describe the IRS use and relevance of this SORN.

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SORN Number & Name

IRS 24.046 - Customer Account Data Engine Business Master File

Describe the IRS use and relevance of this SORN.

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staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information, but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records include information about the agent that answered the call Standard Employee Identifier (SEID) how and/or why a call was disconnected or abandoned, date/time of the call, original Customer Dial Number, information on call duration, such as talk time, hold time, warp time, queue time, router call key/unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, Individual Master File Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call.

SORN Number & Name

IRS 00.001 - Correspondence Files and Correspondence Control Files

Describe the IRS use and relevance of this SORN.

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SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

The collection and display of taxpayer's Automatic Number Identification (ANI) allows the IRS to understand, interpret and diagnose taxpayer service issues to improve quality. This

information will identify congestion and demand against IRS toll free products that may subsequently require redesign or additional staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information, but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records include information about the agent that answered the call Standard Employee Identifier (SEID) how and/or why a call was disconnected or abandoned, date/time of the call, original Customer Dial Number, information on call duration, such as talk time, hold time, warp time, queue time, router call key/unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, Individual Master File Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call.

SORN Number & Name

IRS 24.030 - Customer Account Data Engine Individual Master File

Describe the IRS use and relevance of this SORN.

The collection and display of taxpayer's Automatic Number Identification (ANI) allows the IRS to understand, interpret and diagnose taxpayer service issues to improve quality. This information will identify congestion and demand against IRS toll free products that may subsequently require redesign or additional staffing to reduce the number of dialed attempts required to receive service. Organizations may request this information, but special independent queries must be run against call detail records to cull and produce this information. In addition to the ANI, call detail records include information about the agent that answered the call Standard Employee Identifier (SEID) how and/or why a call was disconnected or abandoned, date/time of the call, original Customer Dial Number, information on call duration, such as talk time, hold time, warp time, queue time, router call key/unique identifier for the call, skill group that handled the call, application the call was sent to (i.e. Refunds, Individual Master File Accounts), which sites were available for queueing the call, language the customer selected, and announcements that played throughout the call.

Records Retention

What is the Record Schedule System?

General Record Schedule (GRS)

What is the retention series title?

Intermediary Records

What is the GRS/RCS Item Number?

GRS 5.2 Item 020

What type of Records is this for?

Electronic

Please provide a brief description of the chosen GRS or RCS item.

The IRS Identity and Records Protection Office is currently developing a new section under Records Control Schedule specific to ETD and electronic records retention. GRS 5.2 Item 020- Intermediary records.

What is the disposition schedule?

Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

Data Locations

What type of site is this?

System

What is the name of the System?

Enterprise Telephone Database

What is the sensitivity of the System?

Sensitive But Unclassified (SBU)

What is the URL of the item, if applicable?

<http://etd.ds.irsnet.gov/>

Please provide a brief description of the System.

The Enterprise Telephone Database (ETD-1) is a data warehouse, which stores information from various systems or sources (Aspect Automatic Call Distributors, Cisco, Intelligent Contact Management (ICM), AT&T Telephone Reports, Integrated Customer Contact Environment, Telephone Routing Information System Management Information System (MIS) regarding IRS telephone service to taxpayers. In addition to being the data repository for telephone MIS, ETD also contains custom-built reports/applications utilizing this telephone data. The ETD system summarizes the data and produces multiple web-based reports used to evaluate the effectiveness of Internal Revenue Service telephone operations to properly evaluate the prior day's telephone performance. In addition to the web-based reports, ETD has a partitioned file share area which contains data from queries which are run against the ETD databases. It allows Joint Operations Center (JOC) and Business Operating Division (BOD) analysts to

use the data to analyze call patterns/activity related to their program areas. The primary users are JOC personnel, Wage & Investment and Small Business Self Employed BOD analysts both Compliance and Accounts Management; Tax Exempt Government Entities analysts, and managers at each of the IRS call sites.

What are the incoming connections to this System?

Intelligent Contact Manager and Unified Contact Center Enterprise